

DAGSORDEN FOR FORUM FOR FORSKNINGSDEKANER 10. SEPTEMBER 2018

Sted: Møterom 3, 10. etg., Lucy Smiths hus
Tid: Mandag 10. september kl. 10.00-12.30

Diskusjonssaker:

SAK 37/18. UiOs innspill til Forskningsrådets nye policy for kjønnsbalanse og kjønnsperspektiver v/ Åse Gornitzka (30 min)

Bakgrunn: Forskningsrådets nåværende «Policy for kjønnsbalanse og kjønnsperspektiver i forskning og innovasjon» skal fornyes. Forskningsmiljøer og andre er invitert til å komme med innspill til arbeidet. Enhetene har blitt bedt om å komme med innspill innen 24. august. Omforent dokument blir ettersendt dagsorden for kommentarer.

Orienteringssaker:

SAK 38/18. Senter for forskningsdrevet innovasjon (SFI IV)-utlysning v/ Vibeke Alm, SFUI (15 min)

Bakgrunn: Det er ønskelig å starte opp UiOs arbeid mot Forskningsrådets SFI VI-utlysningen som er antydnet å være klar rundt årsskifte 2018/2019. Alm orienterer om UiOs prosess for preutlysningsfasen, inkl. tildeling av stimuleringsmidler. Se vedlagt prosessbrev til enhetene.

SAK 39/18. Evaluering av PES2020 og Stim-EU v/ Åse Gornitzka (20 min)

Bakgrunn: Forskningsrådets insentiv til å styrke norsk deltagelse og økt retur fra H2020, PES2020 og Stim-EU, er under evaluering av Technopolis. Den foreløpige rapporten som er levert den rådgivende arbeidsgruppen, er kritisk til ordningen slik som den foreligger i dag, og foreslår at ordningen blir dramatisk kuttet/endret. Se vedlagt dokument. Endelig rapport vil bli ettersendt.

Pause 10 min

SAK 40/18. UiOs støtte til karriereavklaring og -utvikling for yngre forskere v/Helle Parelius, AP (15 min)

Bakgrunn: Parelius orienterer om status for forarbeidet til prosjekt "Karriereveiledning - yngre forskere". Forslag til organisering av arbeidet legges frem for innspill.

SAK 41/18. Nytt fra forskningsdekanene v/ forskningsdekanene (15 min)

Bakgrunn: Runde rundt bordet om nytt fra forskningsfeltet ute på enhetene

Eventuelt:

SAK 42/18.

FFD:EU-forum

SAK 43/18. Form og opplegg for FFD:EU-forum for H18 v/ Hilde Nebb, MED (30 min)

Bakgrunn: Som en oppfølging av H2020 mobiliseringen og arbeidsgruppens forslag om å bruke FFD som EU-forum, er FFDs ordinære møter blitt utvidet med 30 min. tilegnet EU saker. Forumet kan både sikre erfaringsutveksling i H2020 arbeidet og bidra til at UiO kan følge EUs forskningsagenda, samt sikre kobling til de faglige aktivitetene og den faglige linjen på fakultetene. Både forumets arbeidsmåte og møtenes innhold vil bli diskutert. En modell er at ansvaret rulleres blant forskningsdekanene.

Vi ber om løpende innspill på saker til kommende møter.

Aktuelle orienteringer:

- [Oslo innovation week](#); 24. – 28. september 2018
- Oslo Life Science 2019; 11.–14. februar 2019
-

Kommende møtedatoer avsatt høsten 2018

Torsdag	11. oktober
Mandag	12. november
Tirsdag	11. desember

Til: Fakulteter, muséer og sentre

Dato: 15. august 2018

Saksnr.: 2018/7475 VIBEKAL

Forskningsrådets utlysning av Senter for forskningsdrevet innovasjon, SFI IV - UiOs prosess for preutlysningfase, inkl. innmelding av initiativ og utlysning av stimuleringsmidler

Forskningsrådet planlegger utlysning av Senter for forskningsdrevet innovasjon (SFI) våren 2019. Forskningsrådet krever godkjenning på institusjonelt nivå for SFI-søknader, og det er ønskelig med en sentralt koordinert SFI IV-prosess i nært samarbeid med fakulteter, museer og sentre (heretter omtalt som enheter). Notatet orienterer om ordningen og UiOs interne prosess i preutlysningfase.

Om SFI-ordningen

SFI-ordningen skal styrke innovasjon og utvikle kompetanse på høyt internasjonalt nivå gjennom satsing på langsiktig forskning i et nært samarbeid mellom FoU-aktive bedrifter og fremstående forskningsmiljøer. SFI skal være rettet mot samfunnsmessig nytte og kunnskapsbehovene i næringslivet. To overordnede hovedkriterier for utvelgelse av SFI er: 1) vitenskapelig kvalitet på høyt internasjonalt nivå, og 2) potensial for innovasjon og verdiskaping. Internasjonalisering, teknologioverføring og forskerutdanning inngår også i bedømmelsen av søknader. Utlysningen vil være nokså lik tidligere utlysninger (vedlegg 1), men med noen mulige justeringer i hht. anbefalinger fra nylig lansert SFI-evaluering¹ (vedlegg 2). SFI skal bygge på godt utviklet næringslivssamarbeid, og det er derfor ønskelig å starte opp prosessen allerede nå.

UiOs interne prosess

- Det er enhetenes ansvar å legge til rette for å få opp gode SFI-søknader.
- Forum for forskningsdekaner er forankringsorgan ved UiO, og vil motta skisseoversikter fra enhetene og vurdere behov for koordinering.
- Det etableres et støtteteam i LOS bestående av juridisk, økonomisk- og forskningsadministrativ kompetanse fra Avdeling for fagstøtte og Avdeling for administrativ støtte. Eiendomsavdelingen vil også være koblet på støtteteamet for å arbeide med enhetene om SFI-ers arealbehov.
- Støtteteamet vil samarbeide med aktuelle administrative nettverk (FANE og Økonomiledernetverket) i prosessen.
- Det vil bli utlyst midler i form av stimuleringsstøtte, og gitt tilbud om konsulentstøtte
- AF kommer tilbake med informasjon om videre prosess underveis, og bl.a. når utlysningen er klar i Forskningsrådet

¹ https://www.forskningsradet.no/prognett-sfi/Nyheter/Samarbeid_mellom_forskningsinstitusjoner_og_bedrifter_fungerer__og_ma_videre/1254034037980/p1224067021169



Innmelding av initiativ og utlysning av stimuleringsmidler

1. Innmelding av initiativ

Enhetene bes om å melde inn SFI IV- initiativ ved bruk av innmeldingsskjema for søker og for enhetene (vedlegg 3 og 4).

2. Utlysning av stimuleringsmidler

Flere SFIER ved UiO vil bidra til å innfri mål i utviklingsavtalen mellom UiO og KD om mer omfattende forsknings-, utdannings- og innovasjonssamarbeid, herunder samarbeid med internasjonalt næringsliv og klyngeetablering innen livsvitenskap. Det lyses ut midler for å stimulere til sterke og gode SFI-søknader til Forskningsrådets kommende utlysning. Det kreves fremleggelse av plan for aktuell søknad. Midlene tildeles etter følgende retningslinjer:

- Hver tildeling er i utgangspunktet 100 000 kroner.
- Hver enhet er sikret minst én tildeling.
- Finnes det flere søkerinitiativer ved enheten, må dekan/museumsdirektør/senterdirektør gjøre en intern rangering av de tre sterkeste initiativene, basert på enhetenes faglige prioriteringer. Førsteprioritet er sikret bevilgning på 100 000 kroner (jfr. punkt over). Foreligger det mange initiativer, kan bevilgningen bli avkortet for de øvrige søknadene.
- Rektor tar beslutning om tildeling med bakgrunn i enhetenes rangeringer og Forum for forskningsdekaners anbefaling.
- Rapport for bruk av midlene forelegges Avdeling ved fagstøtte ved innsending av endelig SFI-søknad til Forskningsrådet.

Enhetene bes om at innmeldte initiativ og søknader til stimuleringsmidler sendes Avdeling for fagstøtte i **ePhorte** på sak **2018/7475** innen **26. september 2018**.


Tidsplan

Preutlysingsfase	26. september	Frist for innmelding av initiativ
	26. september	Søknadsfrist til stimuleringsmidler
	11. oktober	Behandling i Forum for forskningsdekaner
	11a. oktober	Tilbakemelding til søker
	Oktober – januar	Forarbeidet fortsetter inkl. tilbud om konsulentstøtte
Utlsyning	Vår 2019	Forskningsrådet legger ut utlysning
	Endelig søknadsfrist	Frist for rapport for bruk av stimuleringsmidler

SFI-ordningen er en viktig arena for UiO, og vi ønsker lykke til med arbeidet.

Med hilsen


Gunn-Elin Aa. Bjørneboe
universitetsdirektør


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Impact evaluation of PES2020 and STIM-EU

Validation seminar presentation 23 August 2018

Tomas Åström, Neil Brown, Helen Andréasson and Erik Arnold, Technopolis Group

Purpose of interim report and meeting

- According to the Terms of Reference:

“a validation workshop to present the preliminary results of the evaluation and discuss recommendations.”

Outline

- Assignment
- Advisory Committee feedback
- PES2020:
 - *Results and impacts*
 - *Organisation, administration and cost efficiency*
 - *Conclusions and reflections*
- STIM-EU:
 - *Results and impacts*
 - *Organisation, administration and cost efficiency*
 - *Conclusions and reflections*
- Tentative recommendations
- Upcoming deliverables

Assignment

Overall objectives of evaluation

- To assess whether, or to what extent, PES2020 and STIM-EU fulfil their objectives, both on their own and together
- To assess organisation, administration and cost efficiency of the measures
- To provide recommendations for the future

Advisory Committee feedback

Feedback received from...

- UiB together with UiO and NTNU
- Innovation Norway
- RCN

UiB together with UiO and NTNU (1)

1. On proposal quality:

- *Difficulty comparing FP7 and H2020 highlighted through comparisons with comparator countries*
- *Analyses extended with HEIs divided into three groups depending on FP activity*
- *Discussion on contradiction between proposal quality and new proposers extended*
- *EC funding analysis not a PES2020 objective*

2. On "frikjøp":

- *We have not misunderstood "frikjøp" and know that it is personnel costs, but will modify report text to better reflect this*

3. On additional Norwegian partners:

- *We are aware that this is not an explicit PES2020 objective – but it is part of the overall political objectives for FP participation*

UiB together with UiO and NTNU (2)

4. On strategic use of PES2020 in HEIs:
 - *We know and agree, and will amend report text to better reflect this*
5. On tactical survey responses:
 - *We maintain our experience-based standpoint for questions of obvious self-interest, but will tone down our reservations*
6. On proposal activity:
 - *No specific action; the interim report pre-conclusions will be rewritten for the final report*
7. On tentative lessons from international outlook:
 - *Countries were agreed with RCN*
 - *Lessons were introduced as being intentionally provocative to stimulate discussion*

Innovation Norway

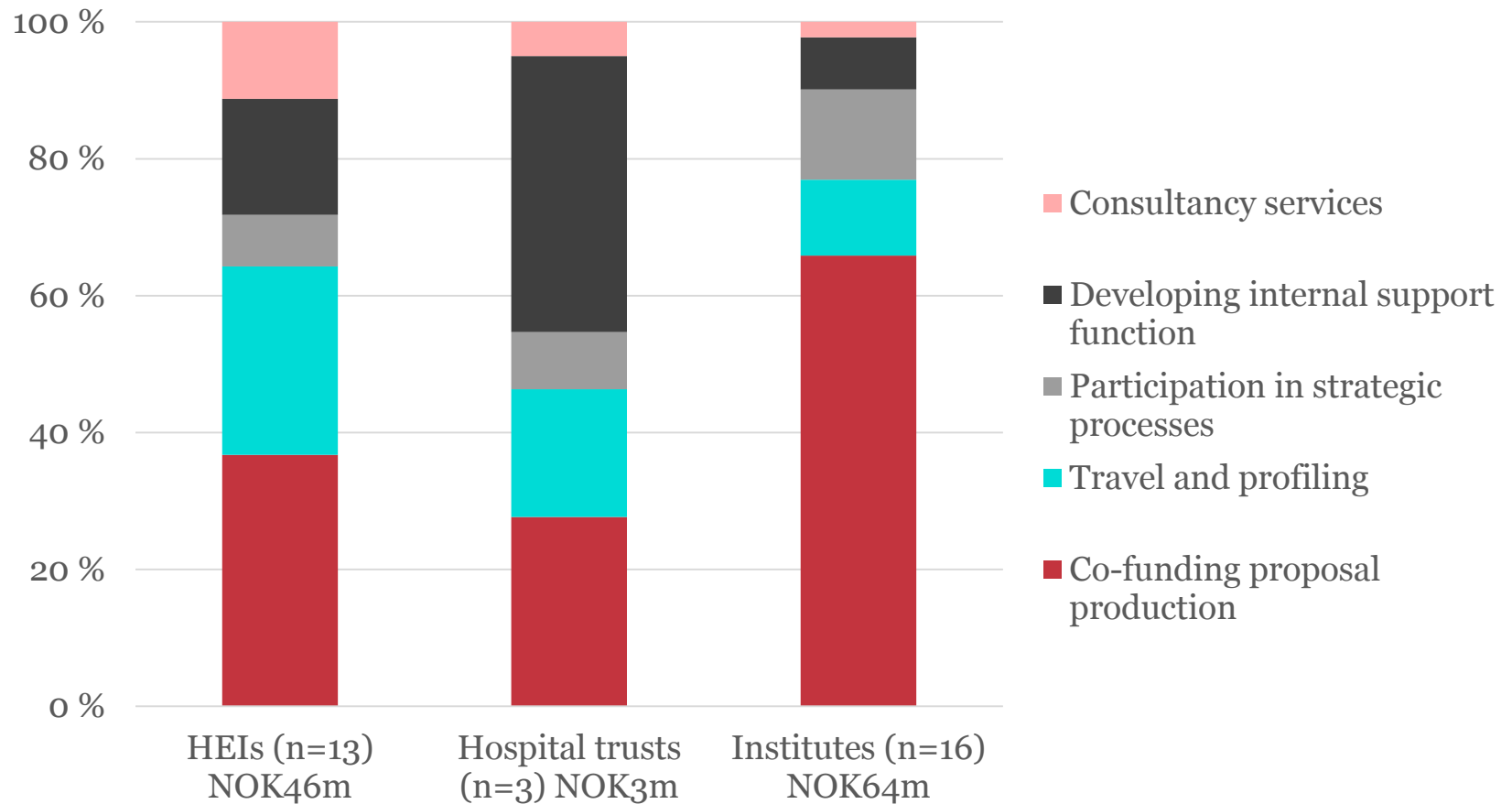
1. On analyses of financial return:
 - *EC funding analysis not a PES2020 objective*
2. On impact for SMEs:
 - *We do not have reliable information on what companies are SMEs, but we have separately analysed the SME Instrument*
3. On adequacy of grant amounts and effectiveness of PES2020 management:
 - *Coming up*

PES2020

Project establishment support (PES)

- PES2020 aims to:
 - *Enhance the quality of H2020 proposals*
 - *Increase the number of H2020 proposals*
 - *Encourage participation of new H2020 proposers*
- PES2020 mainly provides financial support to:
 - *Preparing H2020 proposals (provided proposal is deemed eligible by the EC)*
 - *Positioning activities (travel, profiling and participation in strategic processes)*
- Institutes have received 53 percent of total PES2020 funding, HEIs 29 percent, industry 16 percent and hospital trusts 2 percent; the trend is that of an increasing budget share benefitting HEIs

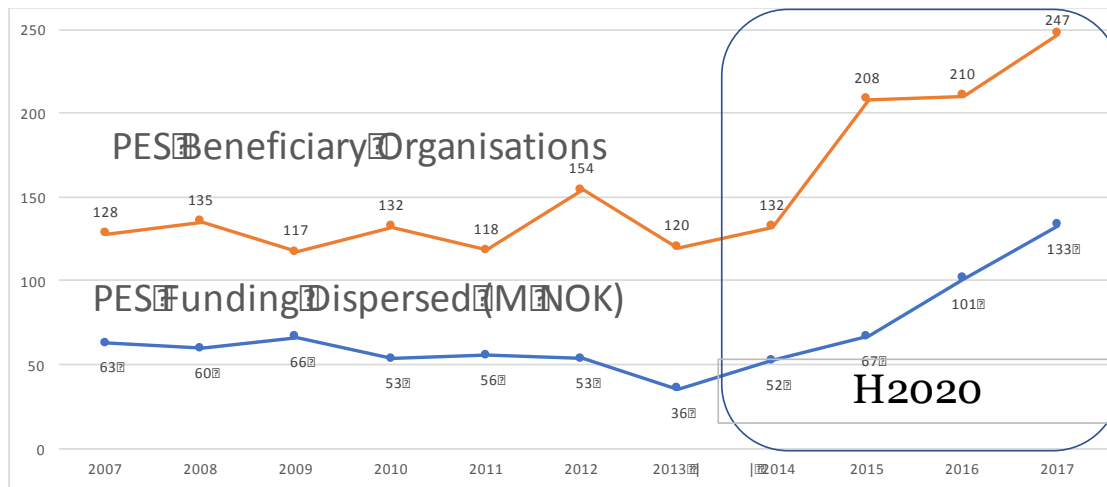
Use of PES2020 block grant in 2017 (administrators)



PES2020: Results and impacts

Trends in PES support over FP7-H2020

- There has been significant growth in the overall scale + breadth of support in H2020 => setting PES2020 apart from previous PES support



FP7 -> H2020

Increase in PES2020 recipients – mainly driven by industry (single grants)

Increase in PES2020 funding dispersed – mainly driven by HEIs (block grants)

- Has this upward trend in support impacted positively on scheme objectives (increased proposal activity, new entrants and increased proposal quality)?
- Is there a positive correlation between H2020 performance (improvements in above areas) and the introduction / increasing scale and breadth of PES2020?
- How does the participation of PES2020 beneficiaries / non-beneficiaries compare?

Norwegian **participation** in proposals

- There has been a clear increase in the **absolute number** of Norwegian proposal participations
 - Both from FP7 to H2020, and during the first four years of H2020
 - Driven mainly by increases in HES (+98%) and company (+150%) activity
 - As part of this, the share of HES total activity *not* accounted for by the 3 most active universities has increased from 21% (FP7) to 29% (H2020)
 - In **relative terms** also (i.e. Norway, as a % of all activity)...
 - There has been an increase in Norwegian proposal activity during H2020 (reversing a gradual decline over the course of FP7)
- *So, overall we see a positive direction of travel in terms of the PES2020 goal to increase the level of Norwegian participation in H2020*

Norwegian participations in proposals – *and PES2020*

- To explore the role of PES2020, we have compared levels of proposal participation for three different groups of organisation (based on degree of PES2020 support)
 - The biggest increase in participation (x5.3) is seen for Group 1 (100% PES2020-supported)
 - We also see increased participation from nearly all (95%) organisations in Groups 1&2

Group of organisations (extent of PES2020 funding)	n	Proposal participations/yr by group		Change FP7- H2020	% of orgs. seeing increase
		FP7	H2020		
1. PES2020 funding for <u>all</u> (100%) of H2020 proposal activity	132	7	39	x 5.3	95%
2. PES2020 funding for <u>some</u> (<100%) H2020 proposal activity	315	874	1,624	x 1.9	95%
3. <u>No</u> PES2020 funding for H2020 proposal activity	1,825	251	570	x 2.3	61%

- This positive relationship between PES2020 and increased proposal activity is particularly strong for industry and amongst less FP-active universities

➤ *So, PES2020 support is associated with larger increases in proposal activity, particularly amongst some sub-groups*

New entrants (not participating in previous years)

- The **absolute number of new Norwegian entrant** organisations is much higher in H2020 (301/year on average) than in FP7 (132/year)
 - *With most (87%+) of the new entrants each year in H2020 being companies*
- The **relative number of new entrants** (new as a % of all) also tends to be higher in H2020 (46%/year on average), than in FP7 (37%)
 - *So, a positive direction of travel, in terms of the PES2020 goal of an increased number of new H2020 proposers*

New entrants – *and PES2020*

- There are clear differences in new entrant rates depending on whether / extent to which they have accessed PES2020
 - New entrants account for:
 - 88% of Group 1 (where H2020 proposals were all PES2020-funded)
 - 59% of Group 2 (where some H2020 proposals were PES2020-funded)
 - 44% of Group 3 (where no PES2020 funding)
- *So, an apparent link between new entrants to H2020 and PES2020 support*
- However, PES2020-funded new applicants to H2020 (n=301) only account for a small proportion (28%) of all new entrants... (also for 28% of new *companies*)
- ... so PES2020 is not the only/main factor encouraging new entrants

Quality of Norwegian proposals

- The **absolute number** of mainlisted/reserved Norwegian proposals has been approximately the same in FP7 (292/year) and H2020 (296/year)
 - But the **proportion of all Norwegian proposals** that are mainlisted / reserved has fallen (31% FP7 -> 19% H2020)
 - A significant drop in success rates between FP7 and H2020 is universal
 - But, while Norway's rate has remained above the all country average throughout FP7 and H2020...
 - ...the 'gap' between Norway and the average appears to be closing
 - Also, Norway's mainlist / reserve rate 'placing' amongst the peer countries appears to have worsened in H2020
- *So, overall no indication of a positive direction of travel, as per the PES2020 goal of increased quality of H2020 proposals*

Quality of Norwegian proposals – *and PES2020*

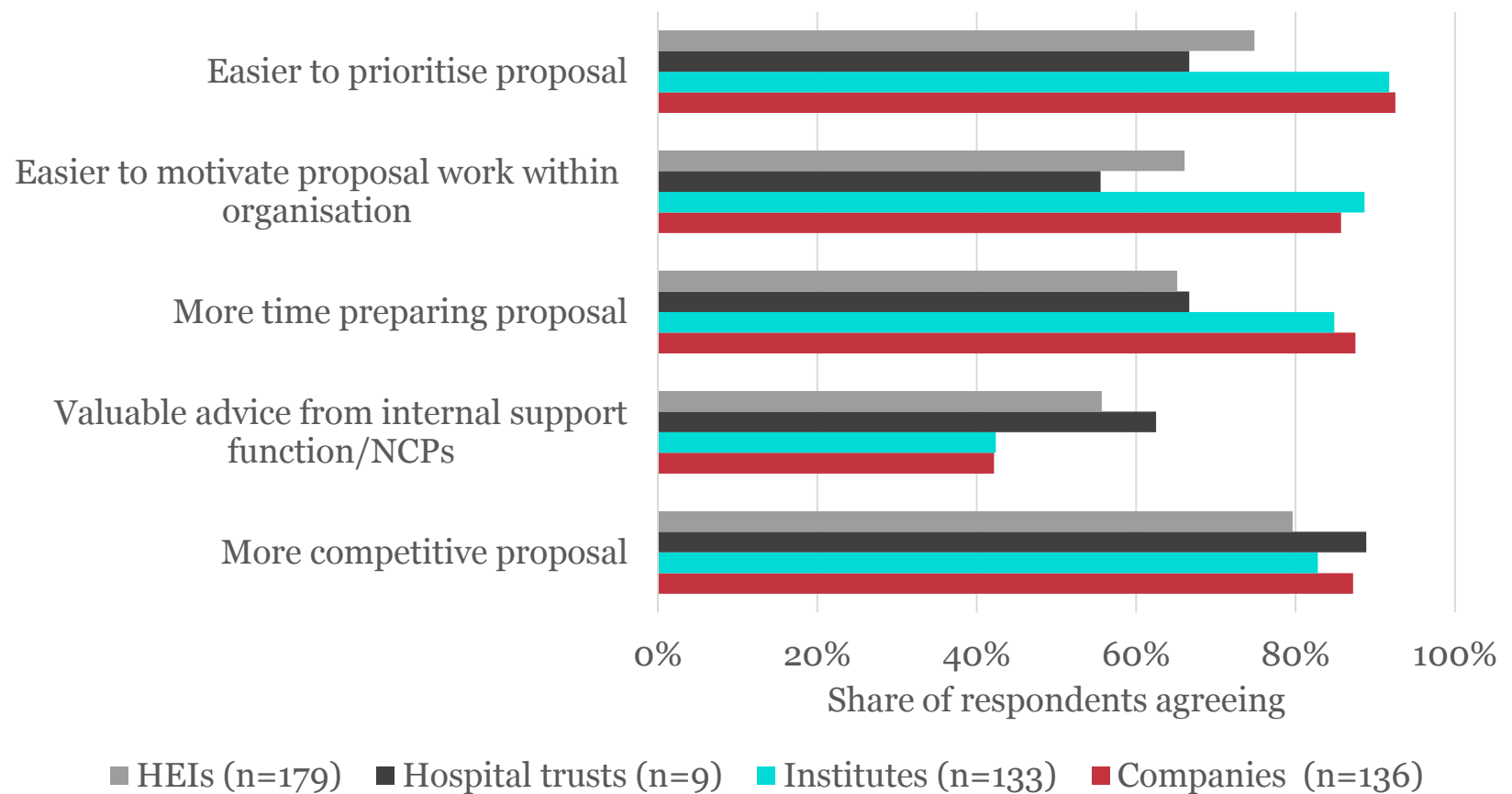
- However, in H2020, we do see a (slightly) better performance amongst those Norwegian proposals *with* PES2020 support (**22%** mainlist/reserve), than amongst those *without* (**19%**)
- This positive association holds for **HES** and PUB
- *It also appears stronger amongst the less FP-active universities:*
 - *High activity (21% with /17% without) (NTNU, UiO, UiB)*
 - *Intermediate activity (20%/18%) (UiT, NMBU, Oslomet, UiS, UiA, HSN)*
 - *Low activity (24%/14%) (All others (15))*
- The relationship *does not hold* for **PRC** (the trend is reversed – **17%/20%**)
 - The SME Instrument is likely to be a big factor (a key area for industry in H2020, and where resubmissions are common, but PES2020 support is only given once)
 - And if we take account of SMEI re-submissions, then mainlist/reserve rates for this instrument with PES2020 *at some point* (**17%**) are much higher than without (**9%**)

➤ *So, a positive association between PES2020 and proposal quality*

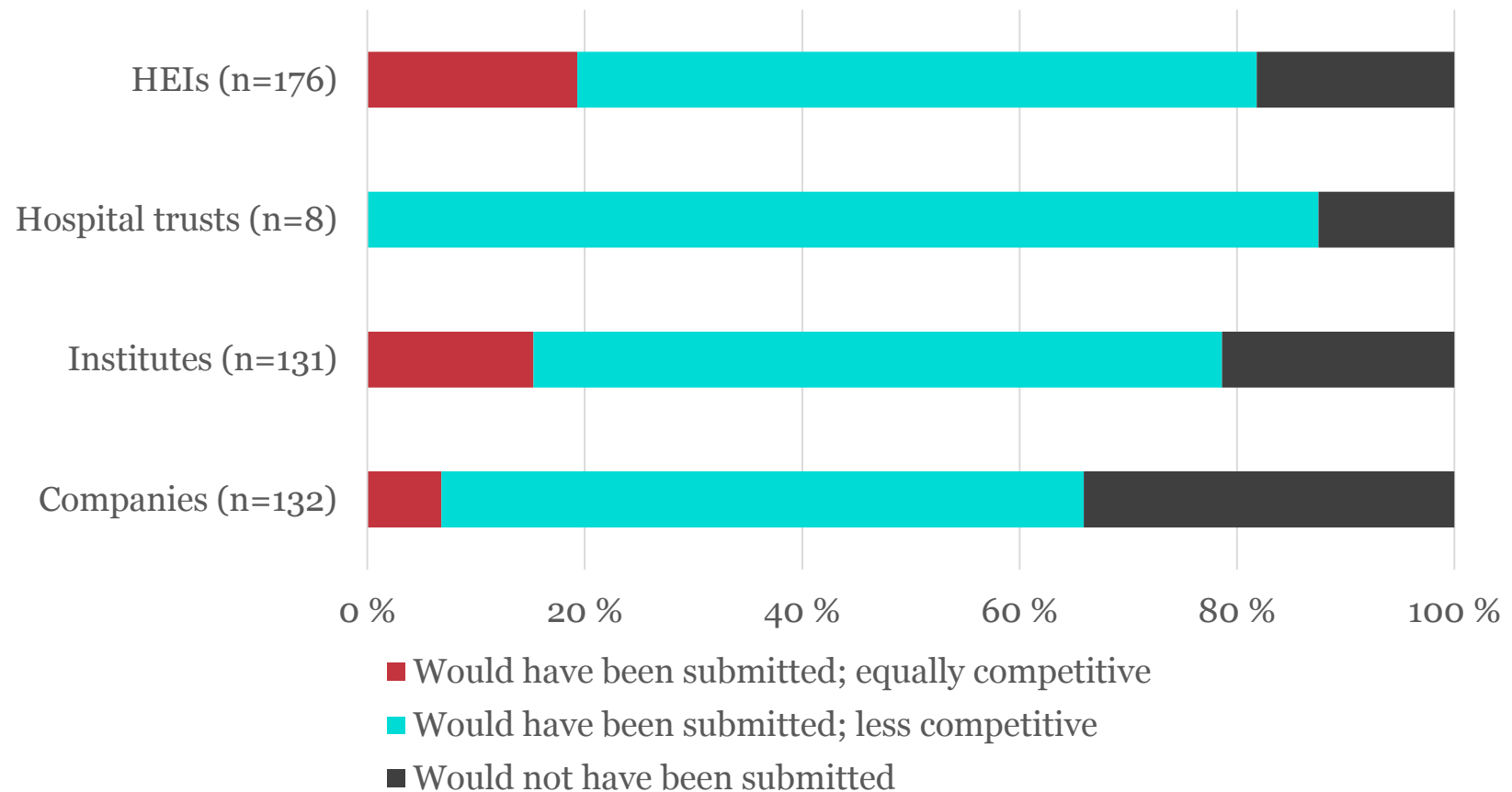
PES2020 – competing objectives?

- PES2020 objectives may be working counter to each other
 - By encouraging new (inexperienced) organisations (**new entrants**) to apply...
 - Norway may be diluting the overall **quality** of its proposals
- There is some evidence to support this: H2020 proposal participations of new entrants are less likely to be mainlisted/reserved (16%) than others (21%)
- There is no diluting effect from this on *absolute* number of quality proposals...
- ...but it reduces the overall *proportion* of Norwegian proposals that are of sufficient quality to fund
- However, the impact is likely very limited:
 - Activity of new entrant organisations is in the minority (removing them increases Norway's mainlist/reserve rate by just 2 percentage points)
 - And the role of PES2020 in encouraging new entrants is relatively small (only 28% of new entrants to H2020 proposals received PES2020 funding)

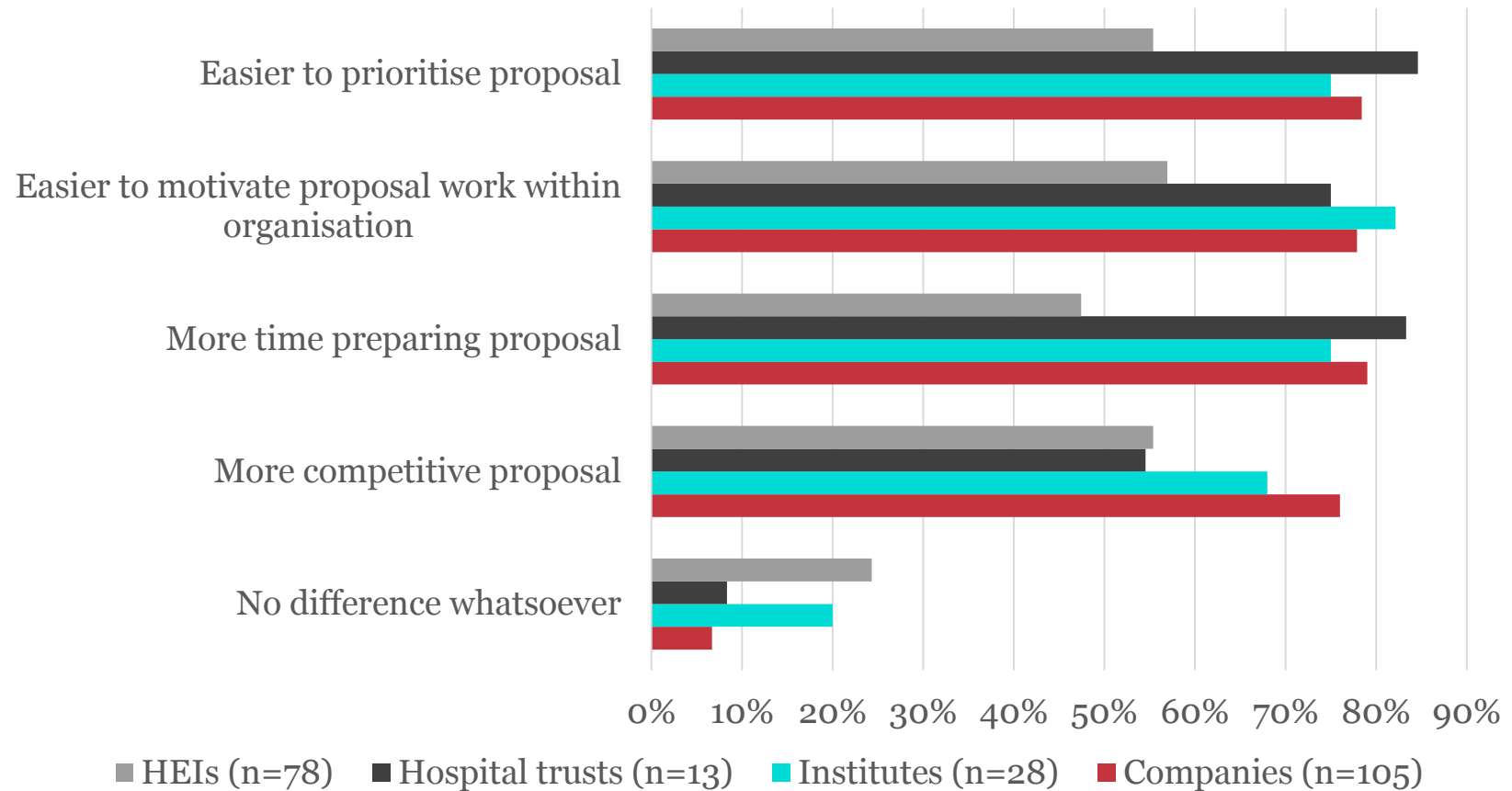
Results of PES2020 grant (beneficiaries)



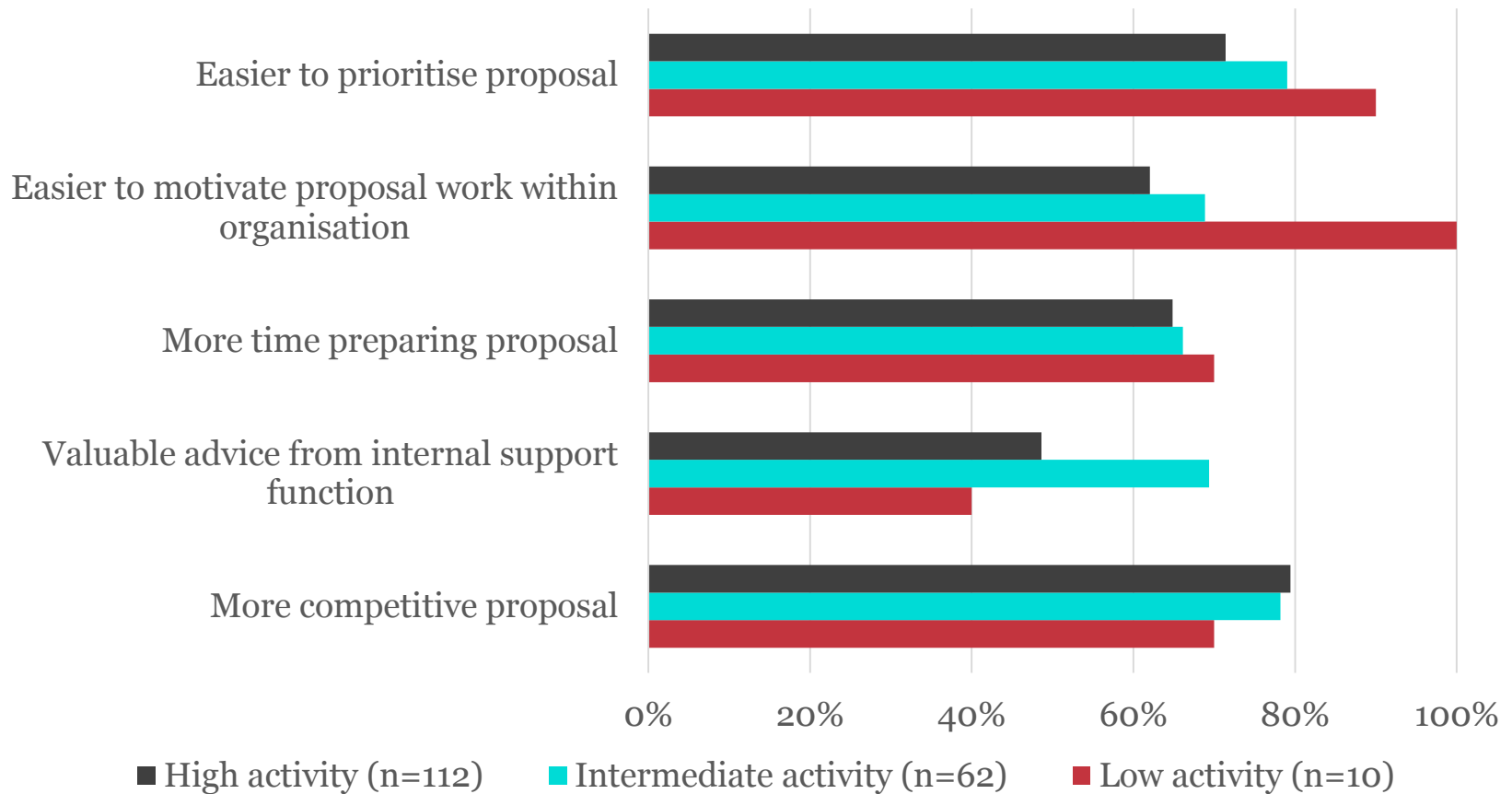
And without the PES2020 grant? (beneficiaries)



And with a PES2020 grant? (non-beneficiaries)



Results of PES2020 grant (HEI beneficiaries)



High activity: NTNU, UiO, UiB (>400 H2020 proposal participations)

Intermediate activity: UiT, NMBU, OsloMET, UiS, UiA, HSN/USN (50–250 participations)

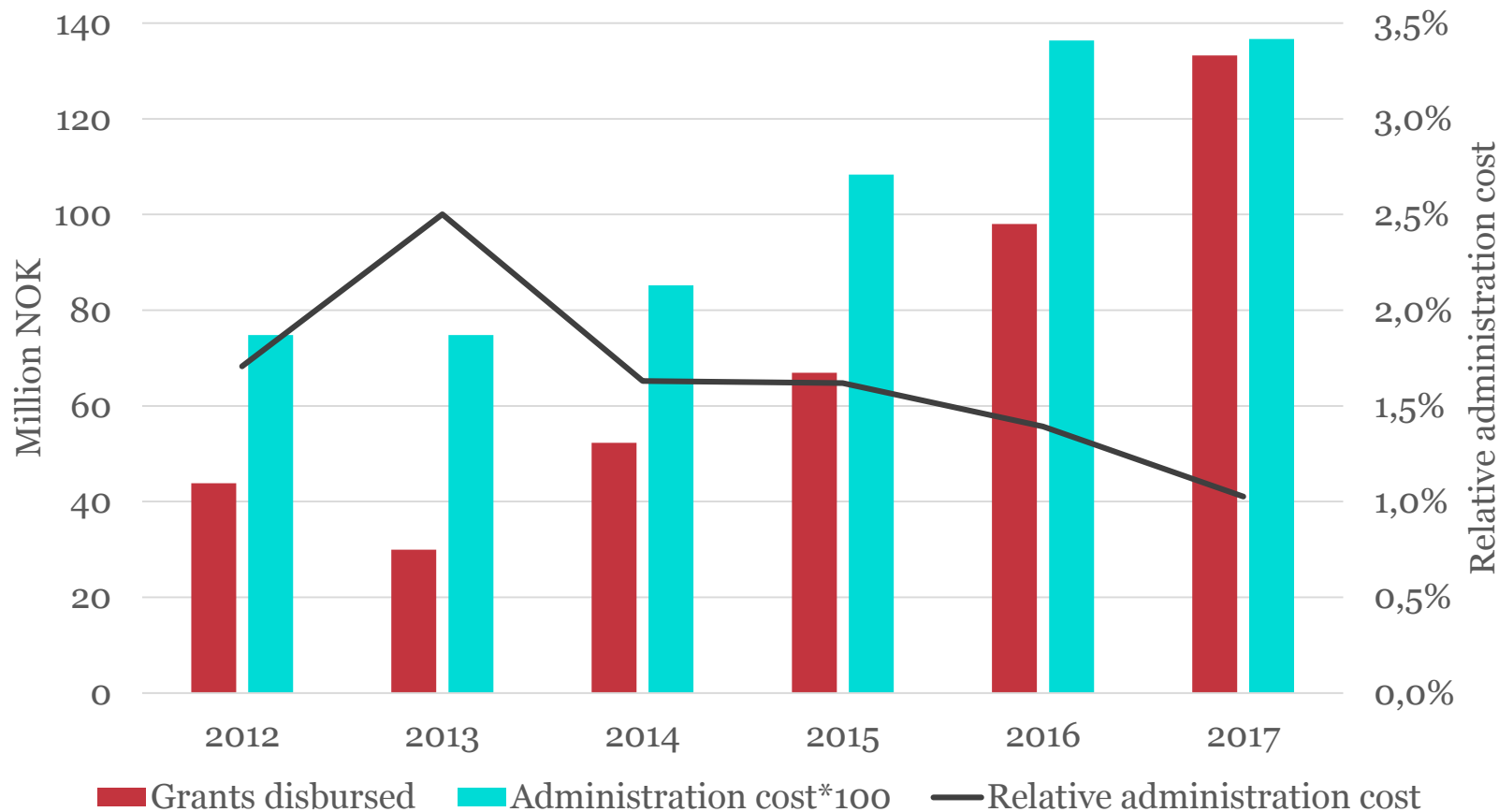
Low activity: All others (15) (<50 participations)

PES2020: Organisation, administration and cost efficiency

Organisation and administration

- PES2020 is (for the moment) managed by six individuals working part-time, resulting in 2.4 FTE
 - *NCPs assist in assessing single PES2020 proposals*
- Successive administrative simplifications:
 - *2009: Extension of eligibility for block grants to all HEIs, hospital trusts and institutes*
 - *2010: Requirement for audit certificates abolished*
 - *Since 2014: ~80% of budget disbursed through block grants*
 - *2015: Companies receive grants as de minimis support*
 - *May 2017: Single grants awarded as lump sums, block-grant holders may award grants for proposal production as lump sums -> no cost reporting required*

RCN's administration costs



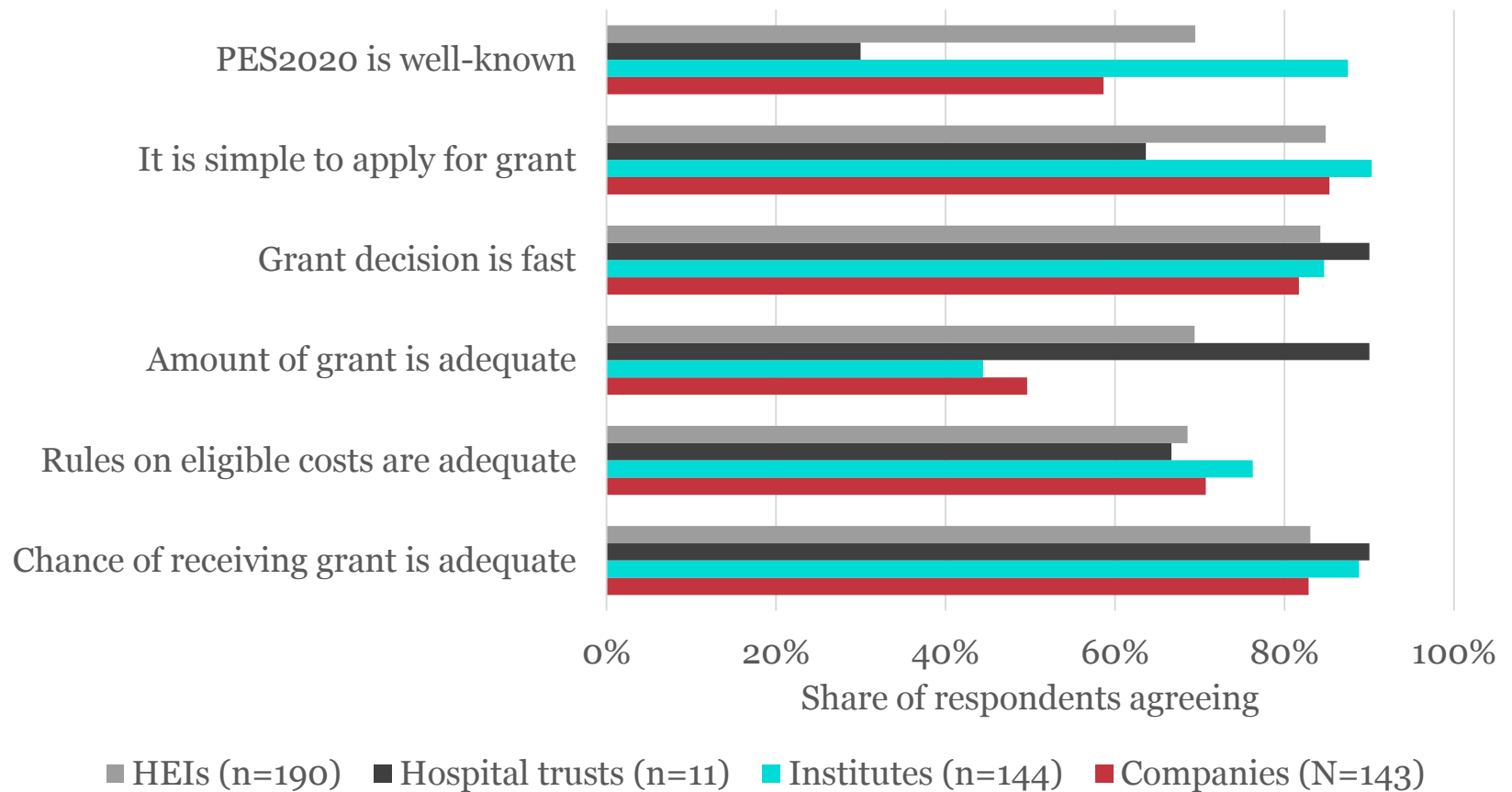
Recipients' administration costs

- RCN has obviously succeeded in reducing its own administration costs, but how about the recipient perspective?
 - *Block grant recipients have had to take on more administration – though simultaneously receiving greater freedom to prioritise internally*
 - *Abolished need for audit certificates and lump-sum grants (no cost reporting) have reduced administration (also) for recipients*

Administration issues (administrators)

- Interviewees representing internal support functions are most content with the PES2020 block grant
- However, there is room for improvement:
 - *The block grant proposal template is seen as poorly considered and difficult to use*
 - *It is difficult to understand how RCN determines the size of the grants awarded*
 - *Some find block grant reporting requirements challenging and wonder why RCN asks for information it could retrieve from eCorda*
 - *The fact that RCN's award decisions come a few months into the new year is a problem, both in budgeting and in practice having to start allocating money that they don't know if they will receive*

Administration issues (beneficiaries)



Internally

To RCN

Average time spent applying and reporting (beneficiaries)

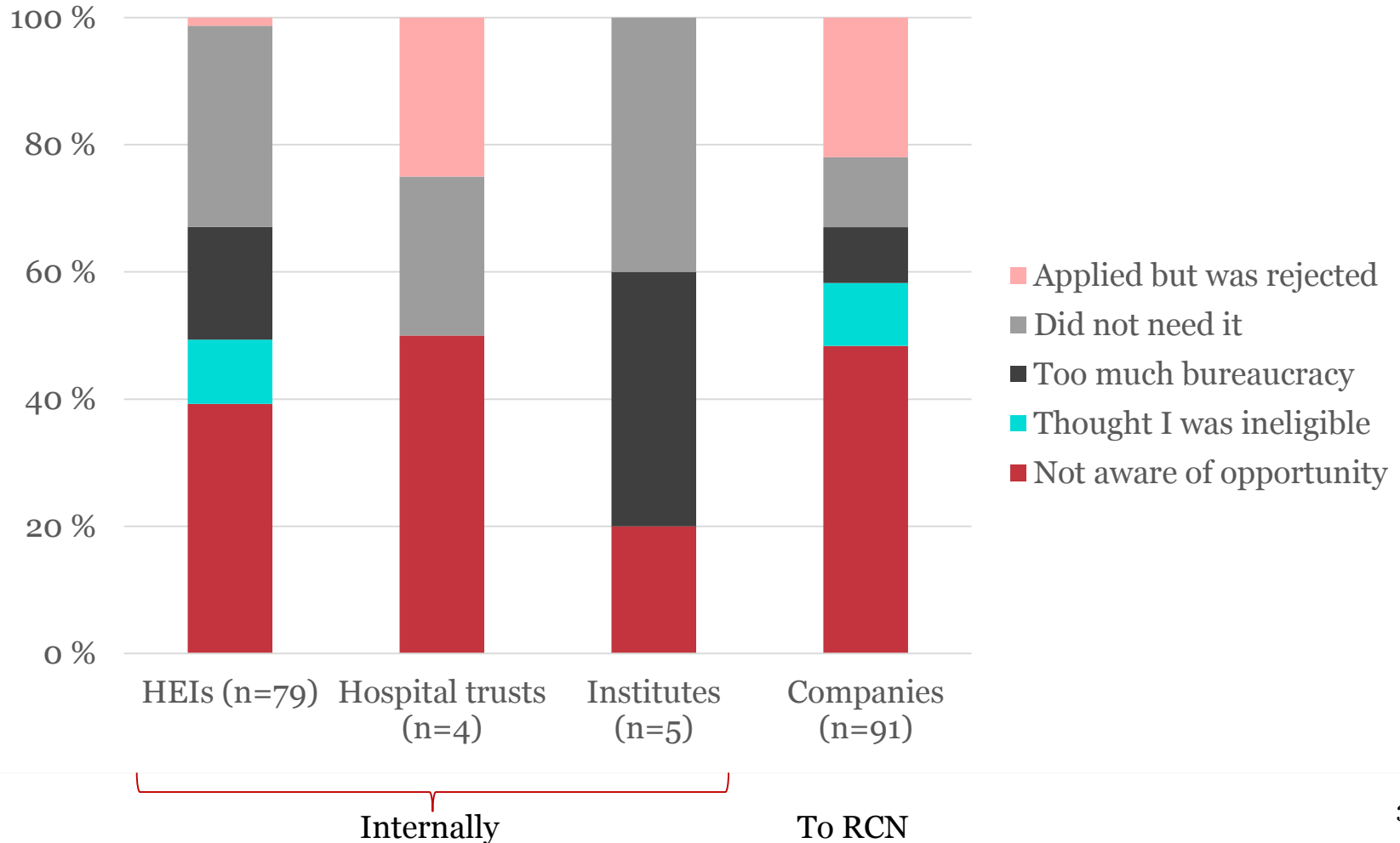
Hours spent	HEIs	Hospital trusts	Institutes	Companies
Applying	6	3	7	12
Reporting	3	3	4	8

Internally

To RCN

- This ought to have changed following the introduction of lump-sum grants in May 2017, but we have too few responses for PES2020 grants awarded after 1 May to verify this

Reason for no PES2020 grant (non-beneficiaries)



PES2020: Conclusions and reflections

Conclusions on objective fulfilment (1)

PES2020 objectives	Evidence of achievement		Role of PES2020?	
Increasing Norwegian proposal activity	✓✓✓	Overall, and particularly amongst universities and companies	✓✓	PES2020 support associated with larger increases in proposal activity Particularly the case amongst companies and less active HEIs
Increasing number of new Norwegian FP proposers	✓✓✓	Overall, mainly driven by companies	✓	Link between new entrants and PES2020 support, but not the only/main factor
Increasing the quality of Norwegian proposals		Norwegian position static – perhaps even worsening relative to others	✓	Slightly better performance (on average) with PES2020, than without Evidence of stronger impact among less active universities

Conclusions on objective fulfilment (2)

	Increase in average annual PES/PES2020 funding (FP7-H2020)		Increase in average annual proposal participations (FP7 - H2020)
Industry	28%	PRC	150%
Institutes	26%	REC	28%
HEI	298%	HES	98%
		Most active	61%
		Mid active	126%
		Least active	187%
Norway	60%	Norway	85%

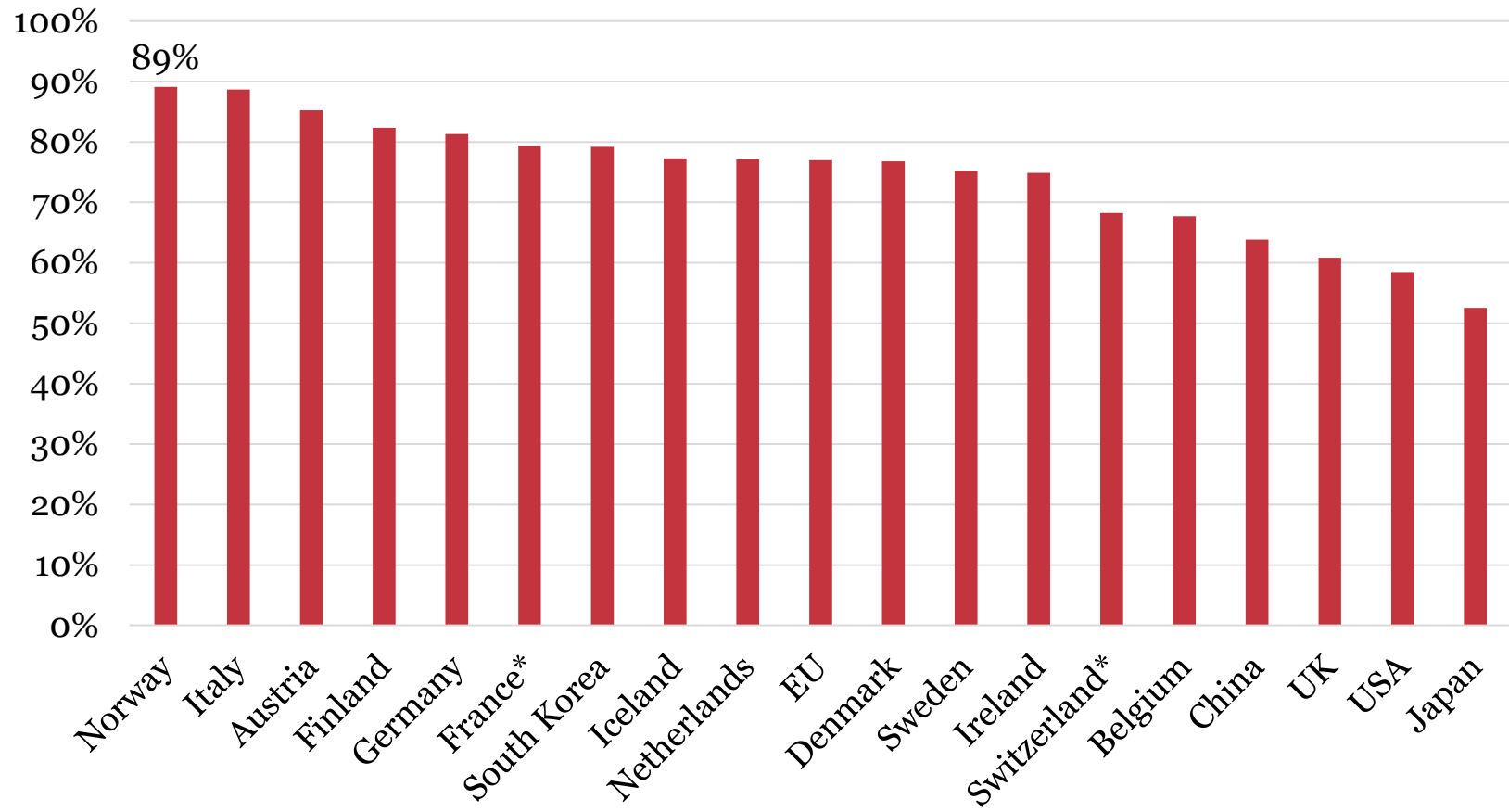
Conclusions on organisation and administration

- PES2020 is well organised and administered. The relative administration cost of 1 percent is quite low, and the opportunities to reduce it further without risking misuse seem limited
- RCN's low administration cost is to a degree a result of RCN having "outsourced" administration to block grant recipients
- Individual beneficiaries are content with administrative matters
- Individual beneficiaries' administration is so marginal that it is unrealistic to reduce it further; moreover, reporting was abolished in May 2017
- PES2020 is not as well known as one might want

Norwegian HEIs

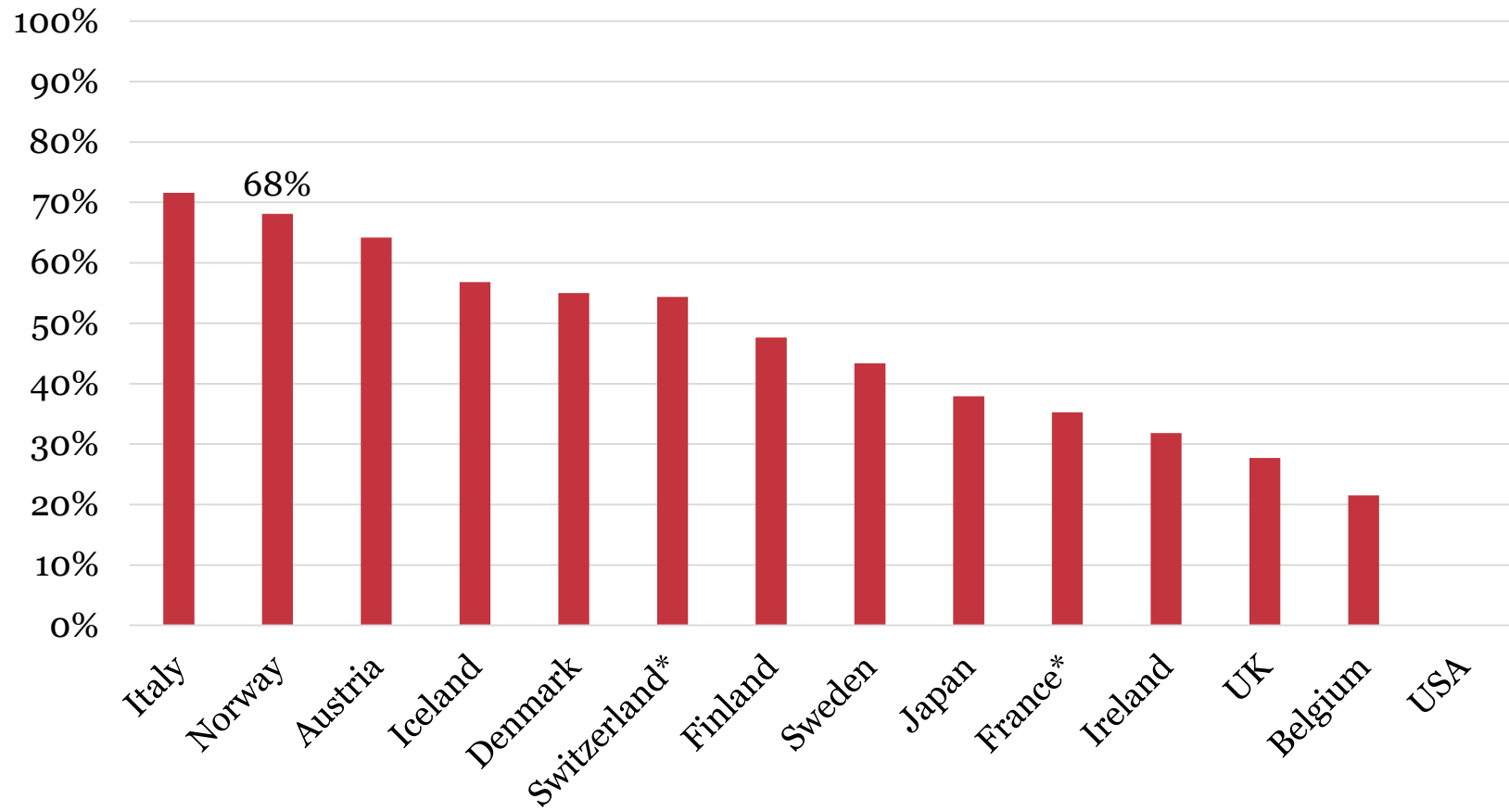
- Receive more direct government funding for R&D than their counterparts in other countries
- Receive a substantial RBO reward for EU funding (100.3% in 2018)
- Receive adequate H2020 cost coverage (not specific to Norway)
- So do they really all need PES2020?

Government share of total intramural R&D expenditure in HE sector 2015



*2014. Source: Eurostat

Public general university funds (GUF) share of total intramural R&D expenditure in HE sector 2015

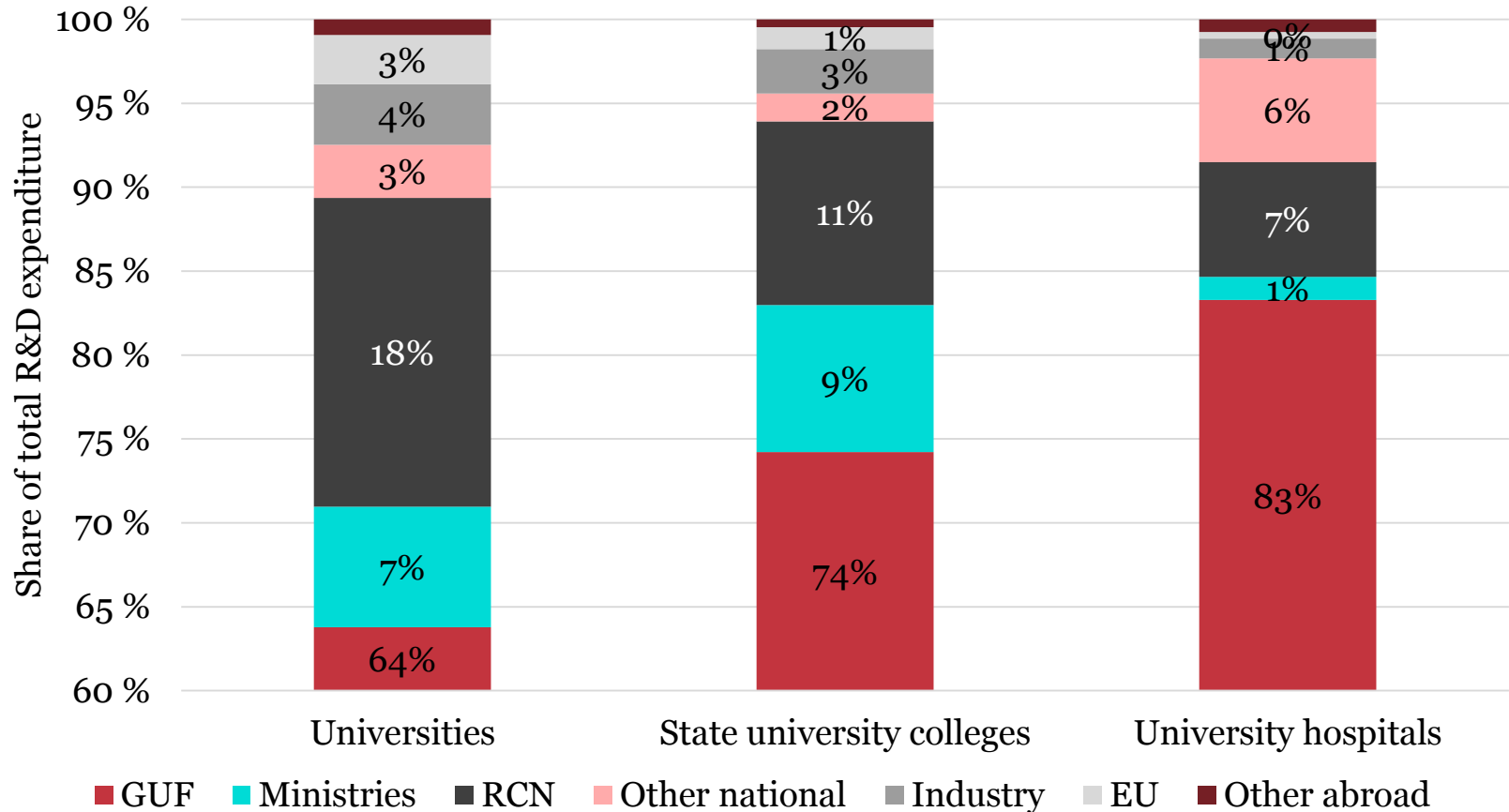


*2014. Source: Eurostat

Norwegian hospital trusts

- Receive even more direct government funding for R&D than Norwegian HEIs
- Receive an “RBO-like” reward for EU funding that is being harmonised with that of HEIs
- Receive the same H2020 cost coverage as Norwegian HEIs
- So do they really need PES2020?

Source of R&D expenditure in HE sector 2015

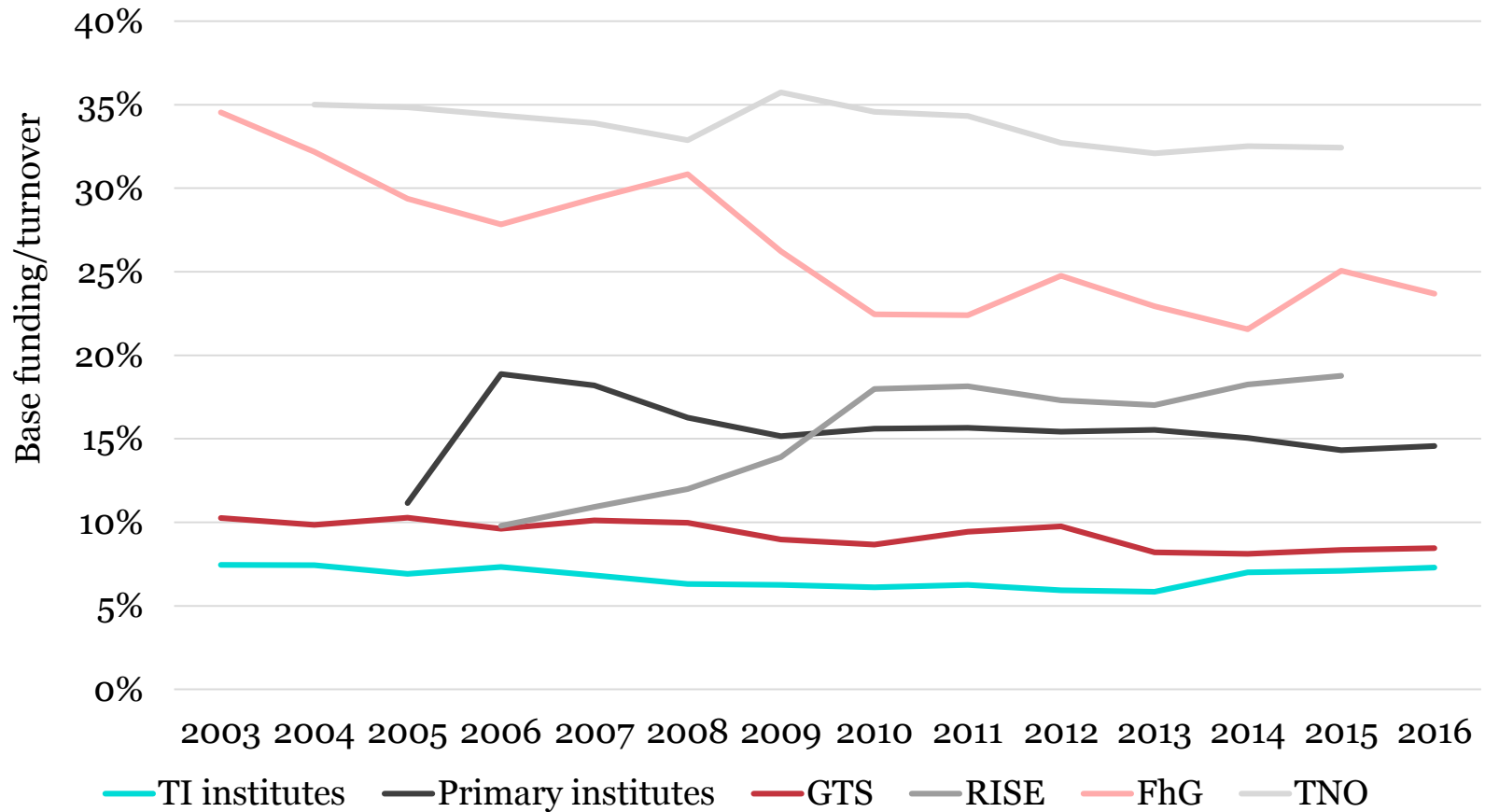


Source: NIFU

Norwegian institutes (within base funding system)

- Receive less direct government funding for R&D than their counterparts in most other countries
- Receive a negligible reward for EU funding through *tellekantsystemet* (~1%)
- Receive inadequate H2020 cost coverage (not specific to Norway)
- Given their low base funding, the institutes really need additional financial support to participate in the FPs, but is PES2020 the most appropriate instrument?

Institute base funding



Norwegian companies

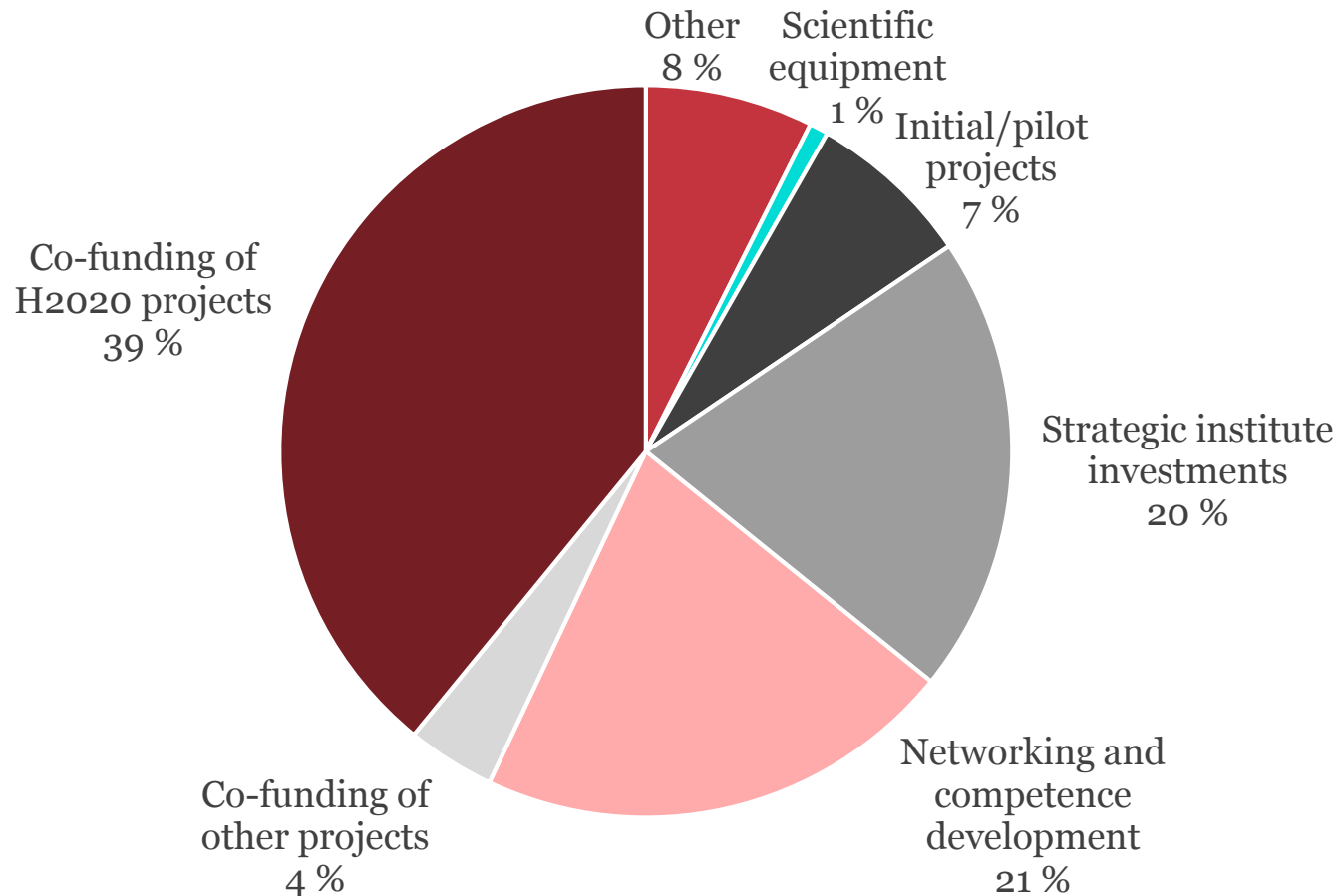
- Receive reasonable H2020 cost coverage (not specific to Norway)
- Given that most companies do not have R&D as core business and there will always be new FP entrants, there may be a case for supporting beginners
- However, is it reasonable to provide PES2020 support to large companies and to recurring FP-participants among SMEs?

STIM-EU

STIM-EU

- STIM-EU aims to stimulate increased participation of research institutes in the FPs
- Funding is set to 33.3% of EC funding (open budget)
- In addition 8% of the total STIM-EU budget is set aside for bonuses (closed budget):
 - *4% for collaboration with Norwegian company*
 - *2% for collaboration with Norwegian public-sector organisation*
 - *2% for coordination*

Use of STIM-EU grant in 2017 (administrators)



STIM-EU: Results and impacts

Trends in STIM-EU support over FP7-H2020

- Since it was introduced in 2012 (end of FP7), the STIM-EU scheme has **expanded in scale and breadth** over time
 - Expanded scope from FP7 Cooperation to nearly all of H2020
 - Additional bonuses for: collaborating with companies (from 2012); coordination (from 2014); and collaborating with public sector organisations (from 2015)
 - The number of eligible institutions has increased
 - The number of beneficiary organisations has increased
 - The total value of funding dispersed has increased
- *Has this upward trend in support impacted positively on scheme objectives (increased institute proposal activity, coordination and PRC/PUB partnering)*
- *Is there a positive correlation between H2020 performance (improvements in above areas) and the introduction / increasing scale and breadth of STIM-EU?*
- *How does the participation of PES2020 beneficiaries / non-beneficiaries compare?*

Proposal **participation** by Norwegian institutes

Amongst the 89 STIM-EU-eligible organisations...

- The % of these institutes that are **participating in proposals** has increased (45% per year in FP7 → 58% per year in H2020)
- And, where they are participating, they are **involved in more proposals** (9.0 proposals each per year in FP7 → 9.7 H2020)
- As a result, the **total number of proposal participations** per year from this group of 89 institutes has increased considerably (+39% from FP7 → H2020)
- Participation levels have increased across all arenas – with most significant growth in activity amongst primary industry and technical-industrial institutes
- *So, a positive direction of travel, in terms of STIM-EU goal of increased institute participation in H2020*
- *Likely to have been encouraged – at least in part – by STIM-EU*

Proposal **coordination** by Norwegian institutes

- The number of multi-partner **proposals coordinated** by STIM-eligible institutes has increased by 32% (from 56 per year in FP7 → 74 in H2020)
 - *This is driven by technical-industrial and social science institutes (while primary industry and environmental institutes have seen small decreases in coordination)*
 - The average **number of institutes** acting as a proposal coordinator each year has also risen (from 18 per year in FP7 to 21 per year in H2020, on average)
 - *With 9 eligible institutes coordinating for first time in H2020*
 - But there has been a slight decrease in institute coordination, as a **proportion** of all proposal participations
 - *i.e. increased coordination has not kept pace with overall increase in participation*
- *Increase in proposals coordinated by eligible institutes (after bonus introduced)*
 - *A positive direction of travel in terms of STIM-EU objective*

Research institute **partnering with companies**

Amongst the 89 STIM-EU-eligible organisations...

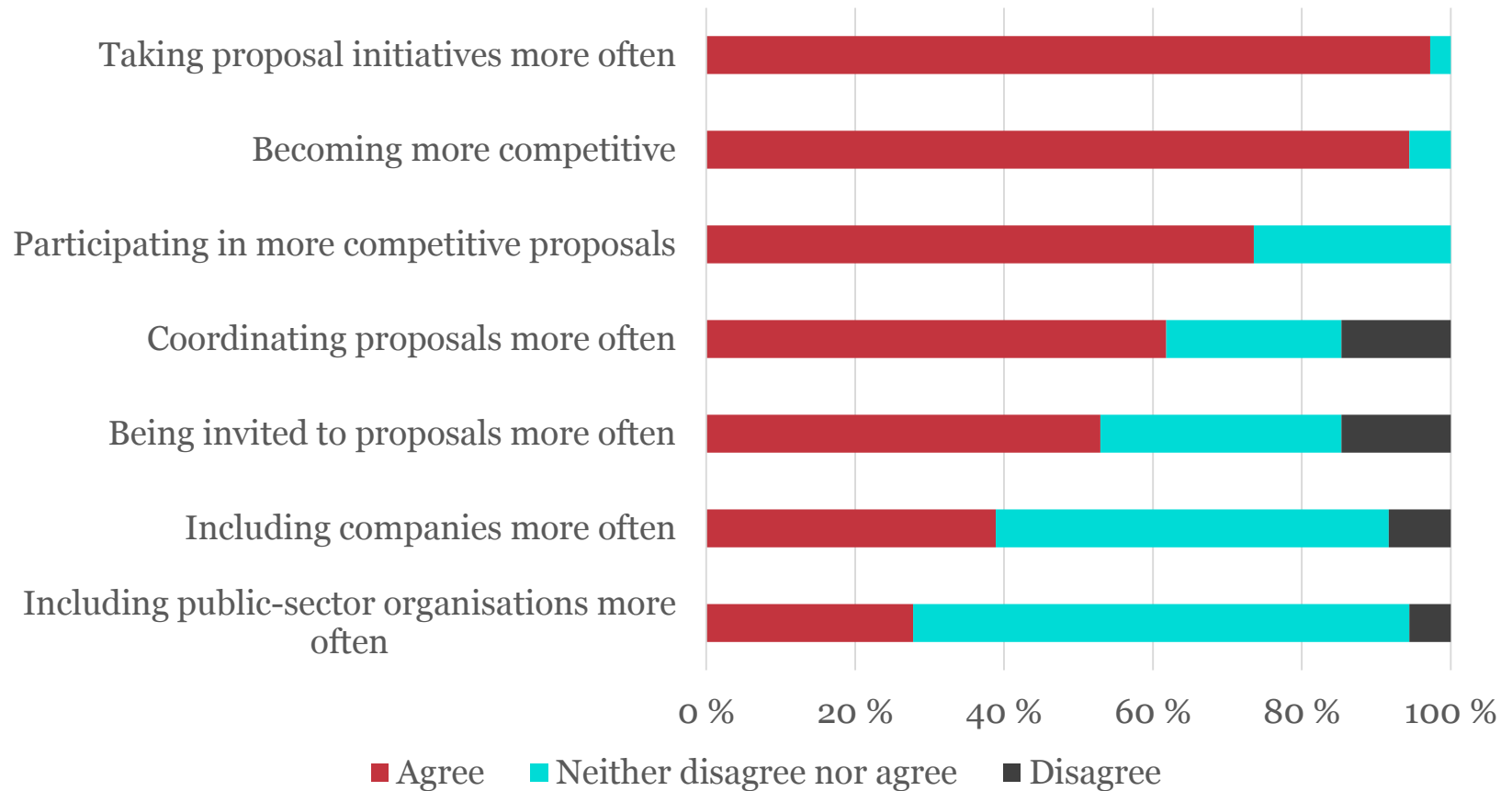
- The number of institute participations in **proposals with a Norwegian company** has more than doubled (from 77/year in FP7 → 155 in H2020)
- With a clear upward trend during the years of H2020 so far
- As a **proportion of all institute participations**, the PRC-partnering rate has also increased since the bonus was introduced (22% → 37%)
- The absolute numbers are being driven by the activities of the technical-industrial institutes... but the other arenas have seen bigger *relative* increases in their PRC partnering
- *Increase in partnering with Norwegian companies (after bonus introduced)*
- *A positive direction of travel in terms of STIM-EU objective*

Research institute **partnering with public bodies**

Amongst the 89 STIM-eligible organisations...

- The number of participations in **proposals with Norwegian public body** is around 7-9 per year across much of the two programmes
- There is some suggestion of an increase between FP7 and H2020
 - But the numbers are small and there is large variability between years
 - There is also no obvious change at time of bonus introduction (2015)
- *No conclusive evidence (yet) on goal of increasing partnering with PUB*

Impacts of STIM-EU grants (administrators)



Impacts of STIM-EU's bonus scheme (administrators)

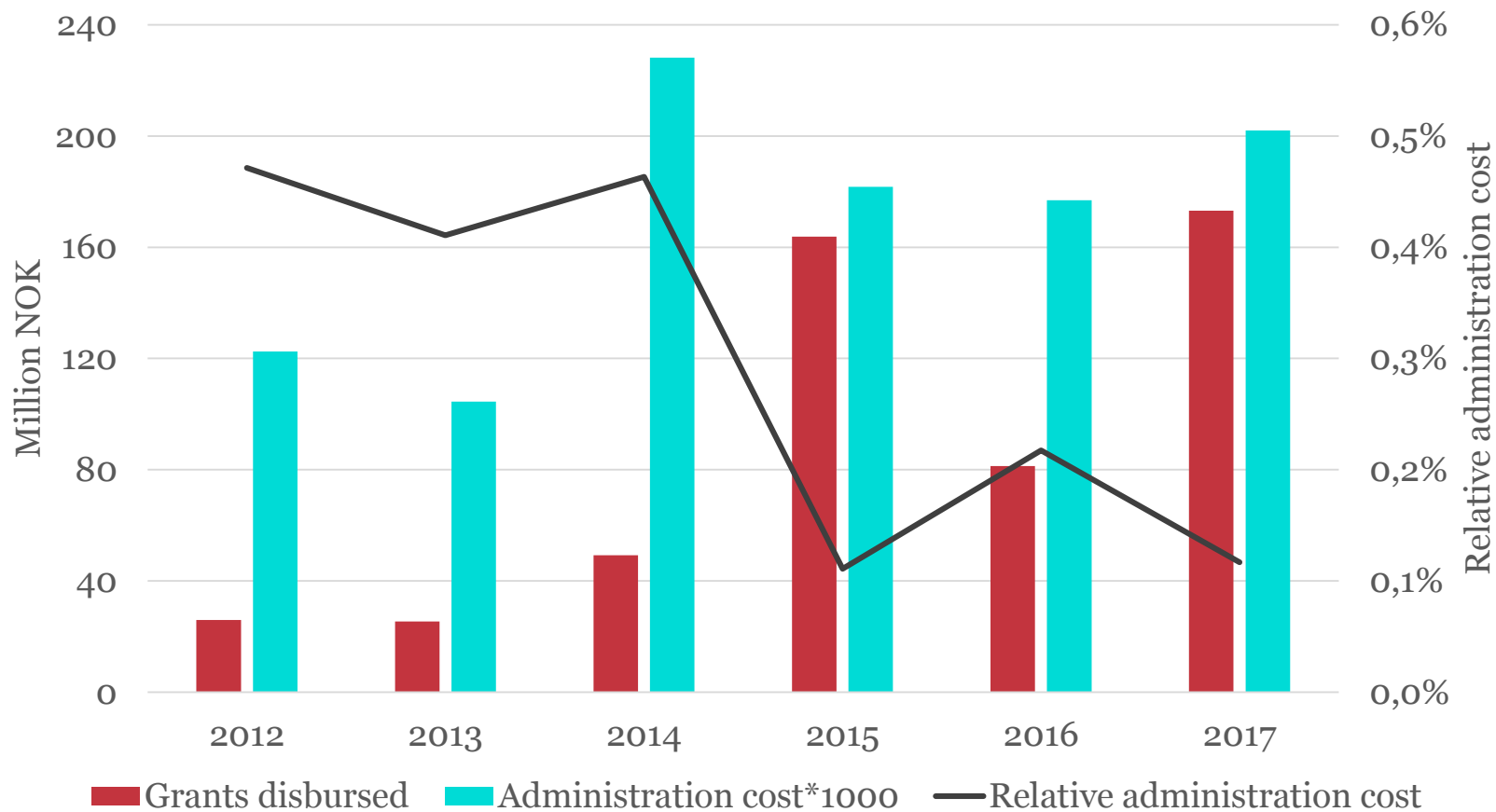
- All bonus components are appreciated, but:
 - *Bonus for coordination is not a strong enough incentive to change behaviour considering the cost and the size of the bonus*
 - *Bonus for including a Norwegian company does not have a strong effect on behaviour since it makes business sense to include companies anyway*
 - *Bonus for including a Norwegian public-sector organisation is all but irrelevant since it is so difficult to entice public-sector actors to participate*
- In conclusion, incentives are too weak to influence behaviour

STIM-EU: Organisation, administration and cost efficiency

Organisation and administration

- STIM-EU is managed by one person part-time, assisted by others as needed, resulting in approximately 0.5 FTE
- Administrative efficiency:
 - *Designed for resource efficiency from the start, using eCorda data to calculate grants*
 - *2014: Proposals abolished*
 - *2014/2015: Inclusion of additional institutes and changes to bonus scheme did not materially affect efficiency*
 - *2015: Introduction of fixed grant percentage (though not for bonuses) gave institutes improved financial predictability*

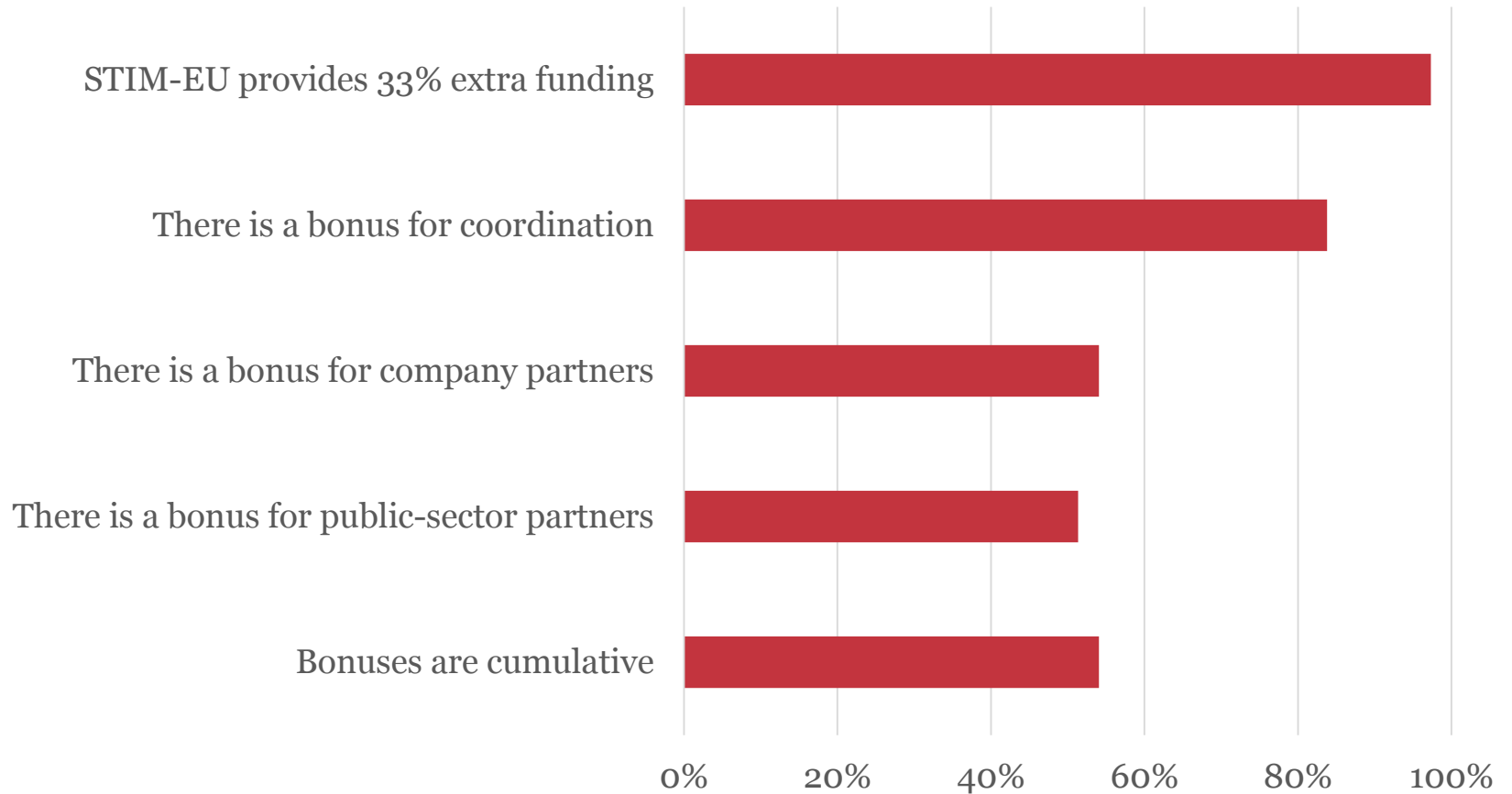
RCN's administration costs



Administration issues (administrators)

- Institutes are free to use grants the same way they use their base grants
- In general, grants go to the organisational unit that hosts the H2020 project that released the grant, and the unit's management is free to use it as it sees fit
- Administration, management and reporting of STIM-EU is said to be straightforward
- Budgeting is made more difficult by the unpredictable outcome of the bonus scheme (and thus weakens the impact of the scheme)

Awareness of STIM-EU features (administrators)



STIM-EU: Conclusions and reflections

Conclusions on objective fulfilment

STIM-EU objectives	Evidence of achievement	
Increasing Norwegian institutes' participation	✓✓✓	More eligible institutes participating in proposals, and doing so more frequently
Increasing coordination by Norwegian institutes	✓	Increase in number of proposals coordinated by eligible institutes (though coord. <i>rate</i> has gone down slightly)
Increasing collaboration with companies	✓✓	Increase in volume and proportion of institute proposal activity in partnership with Norwegian companies
Increasing collaboration with public sector organisations	?	Slight increase in eligible institutes partnering with public bodies – but pre-dates bonus Overall scale of PUB-partnering activity remains minimal (1-2% of all institute multi-partner proposal participations)

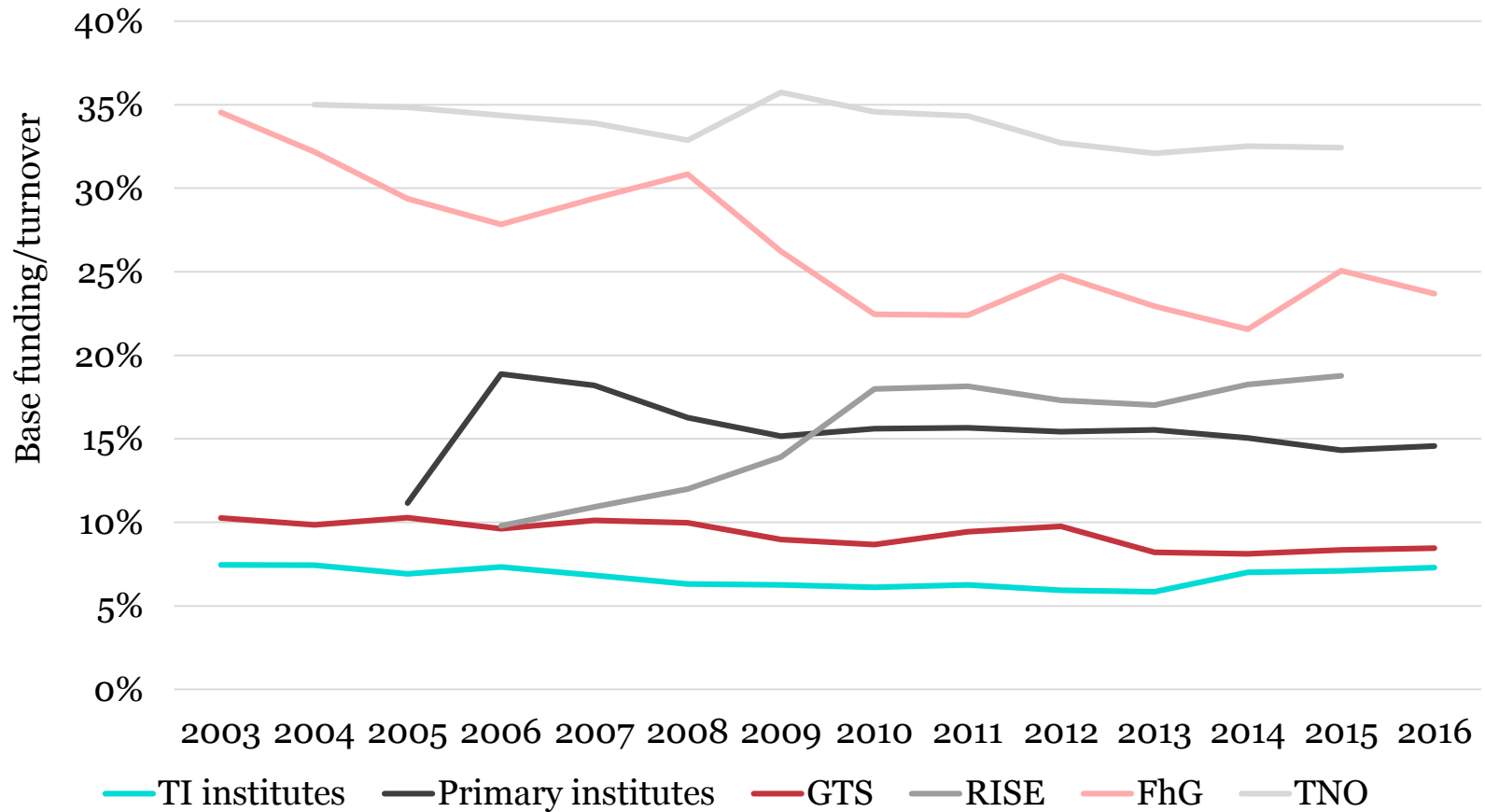
Conclusions on organisation and administration

- STIM-EU is well organised and administered. The relative administration cost of 0.12 percent is very low, and the opportunities to reduce it further seem very limited
- Recipients are content with administrative matters
- STIM-EU's bonus scheme is not as well known as one might want – even at administration level

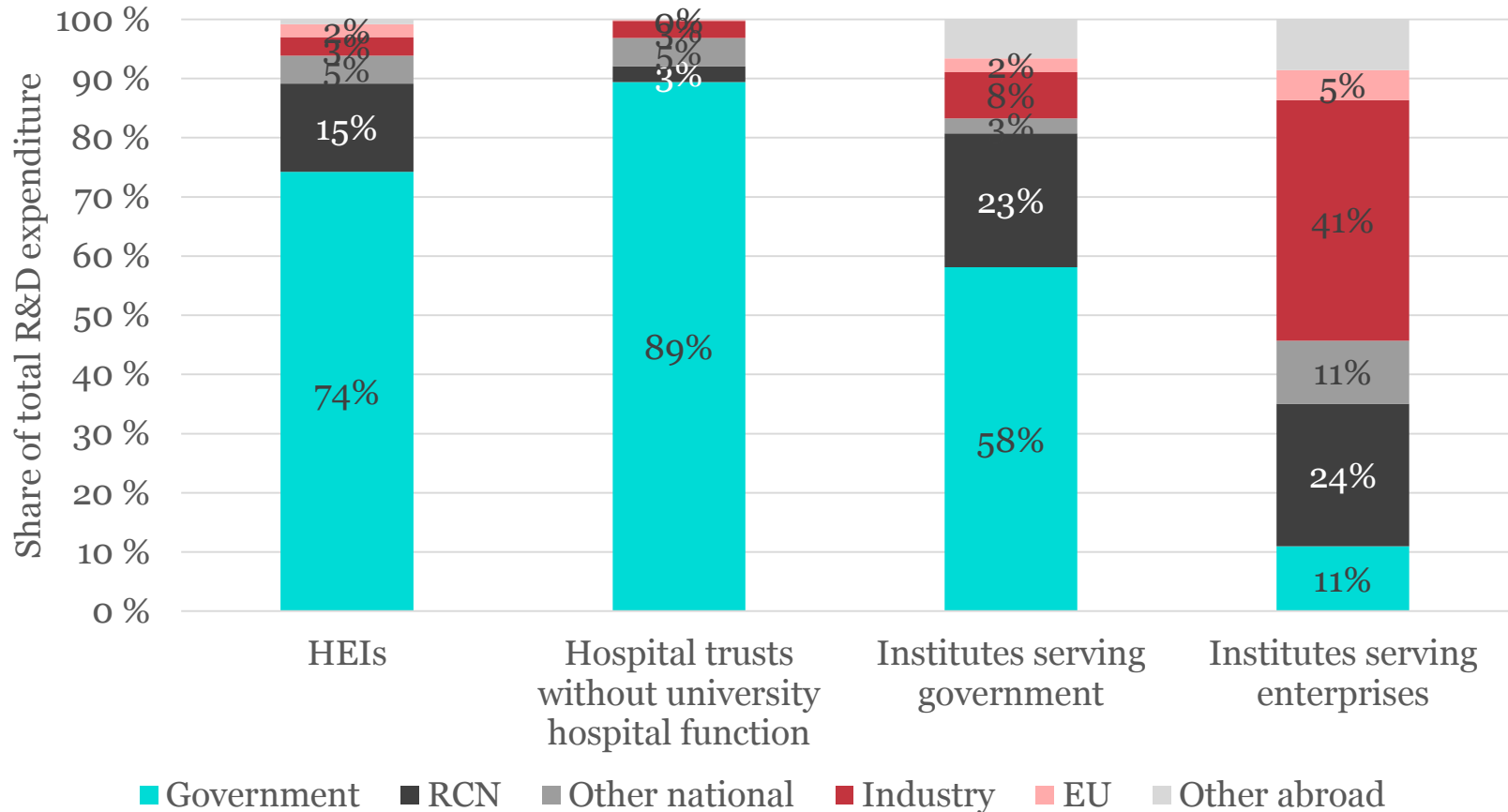
Norwegian institutes (within base funding system)

- Receive less direct government funding for R&D than their counterparts in most other countries
- Receive a negligible reward for EU funding through *tellekantsystemet* (~1%)
- Receive inadequate H2020 cost coverage (not specific to Norway)
- Given their low base funding, the institutes really need additional financial support to participate in the FPs. STIM-EU is therefore clearly justified

Institute base funding



Source of R&D expenditure by stakeholder type 2015



The “institutes serving government” include all environmental, all but one social science, all but two primary industry, and three technical-industrial institutes, as well as 36 “other institutions”. Source: NIFU

Tentative recommendations

Background to recommendations

- The two instruments have different functions:
 - *PES2020 is about behavioural additionally so it should logically go away after a time – except among actors that still need to learn*
 - *STIM-EU is about countering a structural problem in institutes' core funding that would otherwise have to be fixed by increasing that core funding. In the present context, it never goes away and learning will not help alleviate it*

Tentative recommendations for PES2020

- Leave PES2020 unchanged until end of H2020
- Starting with FP9, limit eligibility of PES (PES9?) to:
 - *HEIs in categories 2 and 3*
 - *Hospital trusts*
 - *Beginners among SMEs, e.g. limit eligibility to two PES grants*
- Communicate as soon as possible that the following categories of current PES2020 recipients will not be eligible for PES9 funding (so that they can plan accordingly):
 - *HEIs in category 1 and possibly the top ones in category 2*
 - *Institutes (subject to changes in STIM-EU)*
 - *Large companies*
 - *SMEs that have already received two PES grants*

Tentative recommendations for STIM-EU

- Leave STIM-EU unchanged until end of H2020
- Increase funding percentage to reduce the gap to full cost coverage (as for RCN projects) – including to reflect any changes to FP9 cost models
 - *This may require a separate study*
- Discontinue the bonus scheme

Upcoming deliverables

Upcoming deliverables

- Delivery of draft report (M10): 18 September
- Comments from RCN and AC: 25 September
- Delivery of final report (M11): 9 October

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Thank you!

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